09-04-01

PTO/SB/05 (11-00)

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	UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	42.5 42.5 42.6 42.6 43.6 43.6 43.6 43.6 43.6 43.6 43.6 43
Attorney Docket No. (maximum 12 characters) First Named Inver		73 °22
	FIBER CLADDING WITH LOW POLARIZATION DEPENDENCE AND AN ACOUSTO-OPTIC ER WITH LOW POLARIZATION DEPENDENT LOSS ACHIEVED THROUGH THERN	MAL
Express Mail Lab	el No. <u>EL617209602US</u>	
ADDRESS TO:	Assistant Commissioner for Patents Box Patent Application	

		Washington, D. C. 20231
		ELEMENTS upter 600 concerning utility patent application contents.
1.	<u>X</u>	Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)
2.		Applicant Claims Small Entity Status. (37 CFR 1.27)
3.	<u>X</u>	Specification (Total Pages31) (preferred arrangement set forth below) - Descriptive Title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure
4.	X	Drawings(s) (35 USC 113) (Total Sheets 7)
5.	_X	Oath or Declaration (Total Pages _5) a Newly Executed (Original or Copy) b Copy from a Prior Application (37 CFR 1.63(d)) (for Continuation/Divisional with Box 17 completed) i DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). cX Unsigned.
6.	<u>X</u>	Application Data Sheet. (37 CFR 1.76)
7.		CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.	a	Nucleotide and/or Amino Acid Sequence Submission all necessary) Computer Readable Form (CRF) Specification Sequence Listing on iCD-ROM or CD-R (2 copies), or ii paper
	C	Statement verifying identity of above copies ACCOMPANYING APPLICATION PARTS

ž×:

9. 10.		Assignment Papers (cover sheet & documents(s)) a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
	_X	b. Power of Attorney
11.		English Translation Document (if applicable)
12.		a. Information Disclosure Statement (IDS)/PTO-1449
		b. Copies of IDS Citations
13.		Preliminary Amendment
14.	<u>X</u>	Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.		Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.	***************************************	Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.	_X	Other: Copy of postcard with Certificate of Express Mailing pursuant to 37 C.F.R. § 1.10
18A.		TINUING APPLICATION, check appropriate box and supply the requisite information: ntinuation Divisional X Continuation-in-part (CIP)
Of	Prior Appli	cation No.: 09/738,282 Examiner Group Art Unit
(which	n is a <u>X</u> n is a c	continuation/ divisional/ CIP of prior application no. 09/426,060, ontinuation/ divisional/ _X CIP of prior application no. 09/022,413)
which	n claims pri	ority to Korean Patent Application No. 97-24796 filed June 6, 1997 (List entire chain of priority)
Appli	cant(s): A	Iso include a Preliminary Amendment to amend the specification to claim priority.
oath	ONTINUA or declarat	FION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an ion is supplied under Box 5b, is considered a part of the disclosure of the accompanying
conti	nuation or	divisional application and is hereby incorporated by reference. The incorporation can only be an a portion has been inadvertently omitted from the submitted application parts.
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IOD.	The unde	t under 37 CFR 3.73(b) for <u>continuing</u> application: rsigned states that (name of assignee) is the
assig recor	nee of the ded in the	rsigned states that (name of assignee) is the entire right, title, and interest in the accompanying patent application by virtue of an assignment Patent and Trademark Office at Reel. No Frame No (or a copy of
which	is attache	ed).
19.	Corres	pondence Address
	_ Custon	ner Number or Bar Code Label
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NAM		
INAIVI		KELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
ADDI	RESS _	12400 Wilshire Boulevard
	_	Seventh Floor
CITY	Los Ange	eles STATE California ZIP CODE 90025-1026
Coun	try <u>U.S</u>	S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397
Name	(PRINT/T)	PEN , Stephen M. De Kierk Registration No.: 46,503
1	ture:	Mulli M - 1/4 / 1/4 Date: 8/30/01

EXPRESS MAIL CERTIFICATE OF MAILING

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I hereby certify that I :	am causing this paper or fee to
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for Patents, Washingt	ton, D. C, 20231
	H. MCGOVERN
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	11ST 30, 2001
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Serial/Patent No.: Not Yet Assigned	Filing/Issue Date: Herewith
Client: Novera Optics, Inc.	I ming issue Date
Title: OPTICAL FIBER CLADDING WT	TH LOW POLARIZATION DEPENDENCE AND AN
Title: OPTICAL FIBER CLADDING WT ACOUSTO-OPTIC TUNABLE FILTER W	TH LOW POLARIZATION DEPENDENCE AND AN ITH LOW POLARIZATION DEPENDENT LOSS
Title: OPTICAL FIBER CLADDING WT ACOUSTO—OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004	Atty/Secty Initials: SMD/dam
Title: OPTICAL FIBER CLADDING WT ACOUSTO-OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004 Date Mailed: August 30, 2001	Atty/Secty Initials: SMD/dam Docket Due Date: ***
Title: OPTICAL FIBER CLADDING WT ACOUSTO-OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004 Date Mailed: August 30, 2001 The following has been received in the U.S. Pa	Atty/Secty Initials: SMD/dam Docket Due Date: *** atent & Trademark Office on the date stamped hereon:
Title: OPTICAL FIBER CLADDING WT ACOUSTO—OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004 Date Mailed: August 30, 2001 The following has been received in the U.S. Pa Amendment/Response (pgs.)	Atty/Secty Initials: SMD/dam Docket Due Date: *** atent & Trademark Office on the date stamped hereon: Express Mail No.: EL617209602US EX Check No.44977
Title: OPTICAL FIBER CLADDING WT ACOUSTO—OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004 Date Mailed: August 30, 2001 The following has been received in the U.S. Pa Amendment/Response (pgs.) Appeal Brief (pgs.) (in triplicate)	Atty/Secty Initials: SMD/dam Atty/Secty Initials: SMD/dam Docket Due Date: *** atent & Trademark Office on the date stamped hereon: Express Mail No.: EL617209602US Check No.44977 Month(s) Extension of Time Amt: \$1,356.00
Title: OPTICAL FIBER CLADDING WT ACOUSTO—OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004 Date Mailed: August 30, 2001 The following has been received in the U.S. Pa Amendment/Response (pgs.) Appeal Brief (pgs.) (in triplicate) Application - Utility (pgs., with cover and abstract)	Atty/Secty Initials: SMD/dam Atty/Secty Initials: SMD/dam Docket Due Date: *** atent & Trademark Office on the date stamped hereon: Express Mail No.: EL617209602US Check No.44977 Month(s) Extension of Time Amt. \$1,356.00 Information Disclosure Statement & PTO. 1449 (_ pgs.) Check No
Title: OPTICAL FIBER CLADDING WT ACOUSTO—OPTIC TUNABLE FILTER W BSTZ File No.: 5489P004 Date Mailed: August 30, 2001 The following has been received in the U.S. Pa Amendment/Response (pgs.) Appeal Brief (pgs.) (in triplicate) Application - Utility (pgs., with cover and abstract) Application - Rule 1.53(b) Continuation (pgs.)	Atty/Secty Initials: SMD/dam Docket Due Date: *** atent & Trademark Office on the date stamped hereon: Express Mail No.: EL617209602US Check No.44977 Month(s) Extension of Time Amt. \$1,356.00 Internation Disclosure Statement & PTO. 1449 (pgs.) Check No
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Complete if Known:	MOUNT OF PAYMENT (\$) <u>1,356.00</u>
Application No. Not Yet Assigned Filing Date Herewith	
First Named Inventor Hyo-Sang Ki	m
Group Art Unit Not Yet Assi	gned
Examiner Name Not Yet Assi	gned
Attorney Docket No. 5489P004	
METHOD OF PAYMENT (check one)	
1. [X] The Commissioner is he any over payments to:	ereby authorized to charge indicated fees and credit
Deposit Account Numb Deposit Account Name	er <u>02-2666</u>
[X] Charge Any Additional	Fee Required Under 37 CFR 1.16 and 1.17
[] Applicant claims small	entity status. See 37 CFR 1.27
2. X Payment Enclosed:	X Check
-	Credit Card
	Money Order Other
	Other
FEE CALCULATION	
1. BASIC FILING FEE	
Large Entity Small Entity	
Fee Fee Fee	
	scription Fee Paid 710,00
	application filing fee <u>710.00</u> application filing fee
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	CUPTOTAL (4) A 740 AA
	SUBTOTAL (1) \$ 710.00
2. EXTRA CLAIM FEES	Fee from
	Extra Claims <u>below</u> <u>Fee Paid</u>
Total Claims 47 - 20**	$=$ 27 \times 18.00 $=$ 486.00
Independent Claims 5 - 3**	
Multiple Dependent	<u> </u>
**Or number previously paid, if great	
Large Entity Small Entity	•
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	SUBTOTAL (2) \$ 646.00

FEE C	CALCULA	TION (co	ntinued)		
3.	ADDITIO	NAL FEE	s		
Large	Entity	Small E	Intity		
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	. 00 . 4.4
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive – unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee for early, voluntary, or normal publication	
196	300	196	300	Publication fee for republication	
194	130	194	130	Request for voluntary publication or republication	
)98)91	130	098	130	Processing fee under 37 CFR 1.17(i)	
	1,240 fee (specif	091 v)	1,240	Acceptance of unintentionally delayed claim for priority	·
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